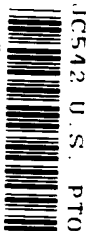


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JCS42 U.S. PTO

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PCT 4/

4121-107

PATENT APPLICATION

300 Rec's

02 FEB 1999

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In re Application of:** KLEINSCHMIDT, Jürgen, JOCHMUS, Ingrid,  
GISSMANN, Lutz, MÜLLER, Martin

**Application No.:** New U.S. National Stage Application of  
PCT International Application No. PCT/DE97/01629

**International Filing Date:** 30 July 1997

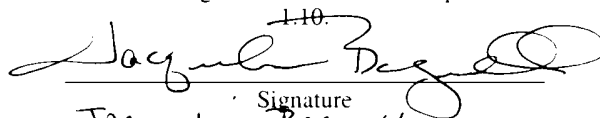
**Priority Date Claimed:** 2 August 1996 (German Appl. No. 196 31 357.0)

**U.S. National Phase Filing Date:** 1 February 1999

**Title:** " VECTOR FOR ACTIVATING THE IMMUNE SYSTEM  
AGAINST CELLS ASSOCIATED TO PAPILLOMA  
VIRUSES OR SEQUENCES THEREOF"

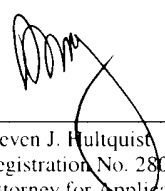
## EXPRESS MAIL CERTIFICATE

It hereby is certified by the person identified below that the attached documents are being mailed by such person to the Assistant Commissioner for Patents on the date specified, in an envelope addressed to the Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, DC 20231, and Express Mailed under the provisions of 37 CFR

  
Signature  
Jacqueline Bagwell  
Name of Person Mailing This Document  
February 1, 1999  
Date of Mailing  
EL 254 577 619 US  
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**SUBMISSION UNDER 35 U.S.C. §371 OF UNITED STATES PATENT APPLICATION  
(NATIONAL PHASE PROCEEDINGS) BASED ON INTERNATIONAL APPLICATION NO.  
PCT/DE97/01629 AND CLAIMING PRIORITY OF GERMAN PATENT APPLICATION  
NO. 196 31 357.0**

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

  
Steven J. Hultquist  
Registration No. 28021  
Attorney for Applicants

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

4121-107

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/250929

INTERNATIONAL APPLICATION NO.

PCT/DE97/01629

INTERNATIONAL FILING DATE

30 July 1997

PRIORITY DATE CLAIMED

2 August 1996

TITLE OF INVENTION

" VECTOR FOR ACTIVATING THE IMMUNE SYSTEM AGAINST CELLS ASSOCIATED TO PAPILLOMA VIRUSES OR SEQUENCES THEREOF"

APPLICANT(S) FOR DO/EO/U.S. Patent and Trademark Office

KLEINSCHMIDT, Jürgen, JOCHMUS, Ingrid, GISSMANN, Lutz, MÜLLER, Martin

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).\*
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A small entity statement.
16. ☐ Other items or information:

NOTE: This application is being filed without an Oath or Declaration under the provisions of 37 CFR § 1.53 in order that applicants may secure a filing date of February 1, 1999. Upon receipt of a "Notice to File Missing Parts - Filing Date Granted," a Declaration and Power of Attorney, and an Assignment in favor of applicants' assignee, Deutsches Krebsforschungszentrum Stiftung Des Öffentlichen Rechts, will be filed in the Patent and Trademark Office. The undersigned agent affirmatively states that he has been duly authorized and appointed to file this application on behalf of the applicants and applicants' assignee, and that the Declaration and Power of Attorney to be filed hereafter will confirm the undersigned agent's authorization and appointment. Deutsches Krebsforschungszentrum Stiftung Des Öffentlichen Rechts is a small business entity within the meaning of 37 CFR § 1.9, and an appertaining small entity statement will also be submitted for such assignee in response to a Notice to File Missing Parts.

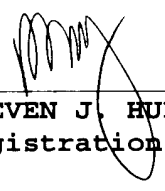
17. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS	PTO USE ONLY
<b>Basic National Fee</b> (37 CFR 1.492(a)-(2)): Search Report has been prepared by the EPO or JPO .....\$970.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) .....\$0.00 No International preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$0.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$1,070.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$0.00  <div style="text-align: right; padding-right: 50px;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>				\$ 970.00	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	<u>13</u> -20 =	0	X \$18.00	\$ 0.00	
Independent Claims	<u>1</u> - 3 =	1	X \$78.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$260.00	\$ 260.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 1230.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$ 615.00	
<b>SUBTOTAL =</b>				\$ 615.00	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 615.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property				\$	
<b>TOTAL FEE ENCLOSED =</b>				\$ 615.00	
				Amount to be:	\$
				refunded	
				Charged	\$

- a. ☒ A check in the amount of \$ 615.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-3284. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not yet been met, a petition to revive (37 CFR 1.127(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

**Steven J. Hultquist**  
**Intellectual Property/Technology Law**  
**P. O. Box 14329**  
**Research Triangle Park, NC 27709**

  
**STEVEN J. HULTQUIST**  
**Registration No. 28,021**